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Preliminary Guidance for the Office of Science Laboratory Performance Appraisal Process

Purpose:
This preliminary guidance is intended to provide the SC Site Offices with an overall methodology and framework for the new SC-wide laboratory performance evaluation and incentive process. This process and methodology is to be implemented for all SC laboratory contracts beginning with the FY 2006 Performance Evaluation and Measurement Plan (PEMP). The following guidance is not all-inclusive and is meant to provide the framework for the development of the FY06 PEMP for each laboratory. Additional guidance to include roles and responsibilities will be issued as it is developed and finalized and will be codified within the appropriate Office of Science Management System (SCMS) Management System Description as appropriate.

Background:
The current performance-based management approach to oversight within DOE has established a new culture within the Department with emphasis on the customer-supplier partnership between DOE and the laboratory contractors. It has also placed a greater focus on mission performance, best business practices, cost management, and improved contractor accountability. Under the performance-based management system the DOE provides clear direction to the laboratories and develops annual performance plans (such as those described within this guidance) to assess the contractors' performance in meeting DOE direction in accordance with contract requirements. The DOE policy for implementing performance-based management includes the following guiding principles:

- Performance measures are established in partnership with affected organizations and are aligned to the DOE strategic goals;
- Resource decisions and budget requests are tied to results; and
- Results are used for management information, establishing accountability, and driving long-term improvements.

The performance-based approach focuses the evaluation of the contractor's performance against Performance Goals as described below. Progress against these Performance Goals is measured through the use of a set of Performance Objectives. The success of each Performance Objective will be measured based on a set of Performance Measures and Targets, both objective and subjective, that are to focus primarily on end-results or impact and not on processes or activities. Performance Measures and Targets provide specific evidence of performance, and collectively, they should provide the body of evidence that indicates performance relative to the corresponding Performance Objective. On occasion however, it may be necessary to include a process/activity-oriented Performance Measure or Target when there is a need for the contractor to develop a system or process that does not currently exist but will be of significant importance to DOE and the laboratory when completed or that lead to the desired outcome/result.

Standard Performance Measurement Basis:
Each SC laboratory PEMP shall be standardized by utilizing a common set of Performance Goals and Performance Objectives. Enclosure 1 provides the set of SC

Performance Goals (Level 1) and Performance Objectives (Level 2) that are to be incorporated into each PEMP and appended to the laboratory contracts. Each Performance Goal and Performance Objective is to be weighted and weightings for each shall be determined and agreed upon by the responsible Site Office Manager and the lead SC Program AD for the laboratory.

Performance Measures (Level 3) and Performance Targets (Level 4) shall be developed for each Performance Objective by the responsible Site Office Manager with assistance from DOE HQ program and staff offices as appropriate. Performance Measures and Targets should identify significant activities, requirements, and/or milestones important to the success of the corresponding Performance Objective and is to be utilized as the primary means of determining the Contractor's success in meeting the Performance Objective. Weightings for Performance Measures/Targets shall be determined by the responsible Site Office Manager with assistance from DOE HQ program and staff offices as appropriate. However, weightings at the Performance Measure/Target level are not required and their utilization is at the sole discretion of the responsible Site Office Manager and lead SC Program AD for the laboratory. The draft Performance Evaluation and Measurement Plan (PEMP) will be reviewed and concurred on by the SC Review Board prior to being signed by the Site Office Manager and incorporated into a laboratory contract. The set of Performance Measures and Targets for each Performance Objective should be developed so as to indicate, if fully met, the performance level required to obtain a "B+" evaluation grade (see Performance Evaluation Methodology below).

Definition for each of the measurement levels are as follows:
Performance Goal: A general overarching statement of the desired outcome for each major performance area that will be scored and reported annually under the appraisal process.
Performance Objective: A statement of desired results for an organization or activity. Note: The set of Performance Measures identified (see below) should be the primary means for determining the Contractor's performance in meeting the Performance Objective; however, other performance information available to the evaluator from other sources may be utilized in determining the overall performance rating of a Performance Objective.
Performance Measure: A quantitative or qualitative method for characterizing performance to assist the reviewer in assessing achievement of the corresponding Performance Objective (i.e., what you would measure).
Performance Target: The desired condition, milestone, or target level of achievement for each Performance Measure (objective or subjective as appropriate), established at an appropriately detailed level that can be tracked and used for a judgment or decision on performance assessment.

Performance Evaluation Methodology:
The grades for each of the Science and Technology (S&T) and Management and Operations (M&O) Performance Goals will be determined based on the weighted sum of the scores of the individual Performance Objectives identified for each. The grades for each Performance Goal will be posted on the SC website in the form of a Report Card for

each laboratory contractor. However, the grades for the Performance Goals shall not be combined to provide an overall grade for the laboratory contractor.

A numerical score shall be determined for each Performance Objective within a Performance Goal by the office responsible for evaluating the laboratory contractor's performance for each Performance Objective. The numerical scoring and the corresponding grades to be utilized are identified in Figure 1 below. These numerical scores represent the degree of effectiveness and performance of the laboratory contractor in meeting the Performance Objective. The Performance Measures and Targets shall be utilized as the primary means of determining the contractor's success in meeting the Performance Objectives. As stated above, the set of Performance Measures and Targets identified for each Performance Objective is to represent the set of significant activities that if fully met, collectively places laboratory performance for the Performance Objective in the "B+" grade range. Although the Performance Measures and Targets are to be the primary means for determining performance, other performance information available to the evaluating office from other sources to include, but not limited to, the contractor's self-evaluation report, operational awareness (daily oversight) activities; "For Cause" reviews (if any); and other outside agency reviews (OIG, GAO, DCAA, etc.), may be utilized in determining the laboratory contractor's overall success in meeting a Performance Objective. When utilized the performance identified within contractors self-evaluation reports should be verified/validated by the appropriate DOE office.

Final Grade	A+	A	A-	B+	B	B-	C+	C	C-	D	F
Total Score	**4.3-4.1**	**4.0-3.8**	**3.7-3.5**	**3.4-3.1**	**3.0-2.8**	**2.7-2.5**	**2.4-2.1**	**2.0-1.8**	**1.7-1.1**	**1.0-0.8**	**0.7-0**

Figure 1. Letter Grade Scale to Numerical Scoring

The overall performance against each Performance Objective within a PEMP, to include the evaluation of Performance Measures/Targets identified for each Objective, is to be evaluated jointly by the appropriate HQ office or major customer and the responsible Site Office. This cooperative review methodology will ensure that the overall evaluation of the contractor results in a consolidated DOE position taking into account specific Performance Measures/Targets as well as all additional information not otherwise identified via specific Performance Measures/Targets. The responsible Site Office Manager is to work closely with DOE HQ program/staff offices and other major customers throughout the year in evaluating the laboratory contractor's performance. The Site Office Manager should provide observations regarding programs and projects as well as other management and operation activities conducted by the contractor throughout the year. An annual SC Performance Evaluation Meeting with the responsible Site Office Manager, appropriate SC Program ADs, and other DOE HQ representatives or major customers, and the Director of the Office of Science, will be schedule and held following the end of each evaluation period. This meeting will be utilized to review the contractor's performance within each Performance Goal/Objective and gain consensus on the grades and incentives to be awarded.

Calculating Individual Goal Scores and Letter Grade:
Each Performance Objective is to be assigned an earned numerical score of 0 to 4.3 (see Figure 1) by the evaluating office as stated above. The Performance Goal rating is then computed by multiplying the numerical score by the weight of each Performance Objective and then adding them to develop an overall score for the Performance Goal. Raw scores (rounded to the nearest hundredth) from each calculation is to be carried through to the next stage of the calculation process. The raw score for each Performance Goal will then be rounded to the nearest tenth of a point for purposes of identifying the overall letter grade as indicated in Figure 1. A standard rounding convention of x.44 and less rounds down to the nearest tenth (here, x.4), while x.45 and greater rounds up to the nearest tenth (here, x.50) is to be utilized.

Determining the Amount of Performance-Based Fee Earned:
For purposes of determining the amount of performance-based fee earned by the contractor the scores for each of the S&T and M&O Goals are to be multiplied by the weight assigned each and then summed to provide an overall score for S&T and M&O. The percentage of the available performance-based fee that may be earned by the laboratory contractor is determined based on the overall weighted score for the S&T Goals as compared to Figure 2 below. The overall numerical score of the M&O Goals shall then be utilized to determine the final fee multiplier (see Figure 2), which shall be utilized to determine the overall amount of performance-based fee earned. Figure 3 is provided to assist in the fee calculation.

Overall Weighted Score for S&T and M&O	S&T Percent Fee Available	M&O Fee Multiplier
4.3	100%	100%
4.2		
4.1		
4.0	97%	100%
3.9		
3.8		
3.7	94%	100%
3.6		
3.5		
3.4	91%	100%
3.3		
3.2		
3.1		
3.0	88%	95%
2.9		
2.8		
2.7	85%	90%
2.6		

Overall Weighted Score for S&T and M&O	S&T Percent Fee Available	M&O Fee Multiplier
2.5		
2.4	75%	85%
2.3		
2.2		
2.1		
2.0	50%	75%
1.9		
1.8		
1.7 – 1.1	0%	60%
1.0 – 0.8	0%	0%
0.7 - 0.0	0%	0%

Figure 2 - Performance-Based Fee Earned Scale

Overall Fee Determination	
Percent S&T Fee Available	
X M&O Fee Multiplier	
Overall Earned Performance-Based Fee	

Figure 3 – Final Percentage of Performance-Based Fee Earned Determination

Adjustment to the Letter Grade and/or Performance-Based Fee Determination: The lack of Performance Goals, Objectives, Measures, or Targets within a PEMP does not diminish the need for the laboratory contractor to comply with minimum contractual requirements. Although the Performance Goals and their corresponding Performance Objectives are to be the primary means utilized in determining the contractor's performance grade and/or amount of performance-based fee earned, the Contracting Officer may unilaterally adjust the rating and/or reduce the otherwise earned fee based on the contractor's performance against all contract requirements. Data to support rating and/or fee adjustments may be derived from other sources to include, but not limited to, operational awareness (daily oversight) activities; "For Cause" reviews (if any); and other outside agency reviews (OIG, GAO, DCAA, etc.).

The adjustment of a grade and/or reduction of otherwise earned fee should be determined by the severity of the performance failure and mitigating factors. Examples of severity of performance and mitigating factors may be found within the policies described in Acquisition Regulation; Conditional Payment of Fee, Profit, and Other Incentives interim final rule published in 68 Fed. Reg. 68771, Dec. 10, 2003.

The final laboratory contractor performance grades and fee earned will be determined during the annual SC Performance Evaluation Meeting discussed above and contained within a year-end report, documenting the results from the DOE review. The report is to identify areas where performance improvement is necessary and, if required, provide the basis for any grade and/or fee adjustments made from the otherwise earned grades or fee based on Performance Goal achievements.

Schedules:
Enclosure 2 provides the major steps and schedule for the development of the FY 2006 PEMPs and a schedule for the review/completion of the FY 2005 laboratory evaluations which will be utilized to help determine the steps needed for this portion of our new performance evaluation methodology.

Goal #1 Mission Accomplishment

Grade	Performance

1a. Output (productivity)

By which we mean: *number of publications in peer-reviewed journals; quantity of output from experimental and theoretical research; demonstrated progress against peer review recommendations, headquarters guidance, etc.*

As measured by: *progress reports, peer review, Field Work Proposals (FWPs), etc.*

Pass	Not failing; see below.
Fail	Peer reviewers not satisfied; output not meeting general scientific standards; minimal progress against FWPs.

1b. Impact (significance)

By which we mean: *impact of publications on the field, publication in journals outside field indicating broad impact, impact on DOE mission, successful stewardship of mission-relevant research areas; significant awards (R&D 100, Nobel Prizes, other); invited talks, citations, making high-quality data available to the scientific community; development of tools and techniques that become standards or widely-used in the community.*

As measured by: *progress reports, peer review, Field Work Proposals (FWPs), etc.*

A to A+	Changes the way the research community thinks about a particular field; resolves critical questions and thus moves research areas forward; results generate huge interest/enthusiasm in the field.
B+	Impacts the community as expected. Strong peer review comments in all relevant areas.
B	Not strong peer review comments in at least one significant research area.
C	One research area just not working out. Peer review reveals that a program isn't going anywhere.
D	Failure of multiple program elements.
F	Gross scientific incompetence and/or scientific fraud.

1c. Leadership (recognition of S&T accomplishments)

By which we mean: *willingness to pursue novel approaches and/or demonstration of innovative solutions to problems; willingness to take on high-risk/high payoff/long-term research problems, evidence that laboratory "guessed right" in that previous risky decisions proved to be correct and are paying off; the uniqueness and challenge of science pursued, recognition for doing the best work in the field; extent of collaborative efforts, quality of the scientists attracted to the laboratory; staff members visible in leadership position in the community; effectiveness in driving the direction and setting the priorities of the community in a research field,.*

As measured by: *progress reports, peer review.*

A to A+	Laboratory staff lead Academy or equivalent panels; laboratory's work changes the direction of research fields; world-class scientists are attracted to the laboratory, lab is trend-setter in a field.
B^+	Strong research performer in most areas; staff asked to speak to Academy or equivalent panels to discuss further research directions; lab is center for high-

	quality research and attracts full cadre of researchers; some aspects of programs are world-class.
B	Strong research performer in many areas; staff asked to speak to Academy or equivalent panels to discuss further research directions; few aspects of programs are world-class.
C	Working on problems no longer at the forefront of science; stale research; evolutionary, not revolutionary.
D	Failure of multiple program elements.
F	Gross scientific incompetence and/or scientific fraud.

1d. Delivery

By which we mean: *timeliness in meeting goals and milestones, delivering on promises, getting instruments to work as promised, transmitting results to the community, and responding to HQ guidance.*

As measured by: *peer review, progress reports, FWPs and AFPs.*

Pass	Not failing; see below.
Fail	Peer reviewers, HQ not satisfied; significant number of milestones not met, results not delivered to community while it matters.

Goal #2 Design, Fabrication, Construction and Operation of Facilities

Grade	Performance

2a. Design of Facility (what occurs before CD-2)

By which we mean: *effective planning of preconceptual R&D, design for life-cycle efficiency, leverage of existing facilities at the site, delivery of accurate and timely information needed to carry out the critical decision and budget formulation process.*

As measured by:

A to A+	R&D strongly supports and demonstrates the potential for revolutionary scientific advancement. Approaches are novel and require new reviews that confirm potential for surprises, and potential to change a discipline or research area's direction.
B+	R&D strongly supports and demonstrates the potential for next scientific advancement. Supported by peer review, reference [what does this mean?] to professional society priorities, NAS or Advisory committee reports, etc
B	[must fill in here]
C	[must fill in here]
D	[must fill in here]
F	[must fill in here]

2b. Construction of Facility/Fabrication of Components (Post CD-2)
By which we mean: *adherence to DOE Order 413.3; successful fabrication of facility components, construction on-schedule, construction on-budget, quality of key staff overseeing the project*
As measured by: *progress reports, Lehman reviews.*

A to A+	[must fill in here]
B+	[must fill in here]
B	[must fill in here]
C	[must fill in here]
D	[must fill in here]
F	[must fill in here]

2c. Operation of Facility
By which we mean: *availability, reliability, and efficiency of facility; whether facility is optimally arranged to support community; whether R&D is conducted to develop/expand the capabilities of the facility; resources are appropriately balanced between facility R&D and user support; quality of the process used to allocate facility time to users.*
As measured by: *progress reports, peer reviews, performance against benchmarks, AFPs, etc.*

A to A+	[must fill in here]
B+	[must fill in here]
B	[must fill in here]
C	[must fill in here]
D	[must fill in here]
F	[must fill in here]

2d. Utilization of Facility to Grow and Support Lab's Research Base
By which we mean: *laboratory has taken full advantage of the facility to strengthen its own research base; conversely, the facility is strengthened by a resident research community that pushes the envelope of what the facility can do and/or are among the scientific leaders using the facility.*
As measured by: *peer review, participation in international design teams*

A to A+	reviews document how multiple disciplines are using the facility in new and novel ways
B+	reviews state strong and effective team approach as an internal user community; laboratory capitalizing on existence of facility to grow internal capabilities
B	[must fill in here]
C	[must fill in here]
D	Few indigenous staff use the facility, with none using it in novel ways; research base is very thin.
F	Laboratory does not know how to operate/use its own facility adequately.

Goal #3 Program Management

Grade	Performance
3a. Stewardship of Scientific Capabilities and Programmatic Vision	
By which we mean: *joint planning (e.g. workshops) with outside community; articulation of scientific vision; development of core competencies, ideas for new facilities and research programs; ability to attract and retain highly qualified staff.*	
As measured by: *[fill in here]*	
A+	Providing strong programmatic vision that extends past the laboratory and for which the lab is a recognized leader within SC and in the broader research communities; development and maintenance of outstanding core competencies, including achieving superior scientific excellence in both exploratory, high-risk research and research that is vital to the DOE/SC missions; attraction and retention of world-leading scientists; recognition within the community as a world leader in the field.
B+	Coherent programmatic vision within the laboratory with input from and output to external research communities; development and maintenance of strong core competencies that are cognizant of the need for both high-risk research and stewardship for mission-critical research; attracting and retaining scientific staff who are very talented in all programs.
B	Programmatic vision that is only partially coherent and not entirely well connected with external communities; development and maintenance of some, but not all core competencies with attention to, but not always the correct balance between, high-risk and mission-critical research; attraction and retention of scientific staff who talented in most programs.
C	Failure to achieve a coherent programmatic vision with little or no connection with external communities; partial development and maintenance of core competencies (i.e., some are neglected) with imbalance between high-risk and mission-critical research; attracting only mediocre scientists while losing the most talented ones.
D	Minimal attempt to achieve programmatic vision; little ability to develop any core competencies with a complete lack of high-risk research and ignorance of mission-critical areas; minimal success in attracting even reasonably talented scientists.
F	No attempt made to achieve programmatic vision; no demonstrated ability to develop any core competencies with a complete lack of high-risk research and ignorance of mission-critical areas; failure to attract even reasonably talented scientists.

3b. Program Planning and Management

By which we mean: *quality of R&D and user facility strategic plans, adequate consideration of technical risks, success in identifying/avoiding technical problems, leveraging (synergy with) other areas of research, demonstrated willingness to make tough decisions (e.g. cut programs with sub-critical mass of expertise, divert resources to more promising areas, etc.)*

As measured by: *peer review, existence of strategic plans, SC and scientific community evaluation of these plans.*

Grade	Performance
A to A+	Research plans are proactive, not reactive, as evidenced by making hard decisions and taking strong actions; plans are robust against budget fluctuations – multiple contingencies planned for; new initiatives are proposed and funded through reallocation of resources from less effective programs; plans are updated regularly to reflect changing scientific and fiscal conditions; plans include ways to reduce risk, duration of programs.
B+	Plans are reviewed by experts outside of lab management and/or include broadly-based input from within the laboratory; research plans exist for all program areas; plans are consistent with known budgets and well-aligned with DOE interests; work follows the plan.
B	Research plans exist for all program areas; work follows the plan.
C	Research plans exist for most program areas; work does not always follow the plan.
D	Plans do not exist for a significant fraction of the lab's program areas, or significant work is conducted outside those plans.
F	No planning is done.

3.c Program Management-Communication & Responsiveness (to HQ)

By which we mean: *the quality, accuracy and timeliness of responses to requests for information from HQ, the extent to which the laboratory keeps HQ informed of both positive and negative events at the laboratory so that HQ can deal effectively with both internal and external constituencies, the ease of determining who is on-point for what.*

As measured by: *Program manager input, number of times HQ is surprised-either positively or negatively.*

Grade	Performance
A to A+	Communication channels are well-defined and information is effectively conveyed; important or critical information is delivered in real-time; responses to HQ requests for information from laboratory representatives are prompt, thorough, correct and succinct; laboratory representatives *always* initiate a communication with HQ on emerging issues there are no surprises.
B+	Good communication is valued by all staff throughout the contractor organization; responses to requests for information are thorough and are provided in a timely manner; the integrity of the information provided is never in doubt

C Laboratory representatives recognize the value of sound communication with HQ to the mission of the laboratory. However, laboratory management fails to demonstrate that its employees are held accountable for ensuring effective communication and responsiveness; laboratory representatives do not take the initiative to alert HQ to emerging issues.

D Communications from the laboratory are well-intentioned but generally incompetent; the laboratory management does not understand the importance of effective communication and responsiveness to the mission of the laboratory.

F Contractor representatives are openly hostile and/or non-responsive – emails and phone calls are consistently ignored; communications typically do not address the request; information provided can be incorrect, inaccurate or fraudulent – information is not organized, is incomplete, or is fabricated.

Management and Operations Performance Goals/Objectives

4. Provide Sound and Competent Leadership and Stewardship of the Laboratory

The Contractor's Leadership provides effective and efficient direction in strategic planning to meet the mission and vision of the overall Laboratory; is accountable and responsive to specific issues and needs when required; and corporate office leadership provides appropriate levels of resources and support for the overall success of the Laboratory.

4a. Provide a Distinctive Vision for the Laboratory and an Effective Plan for Accomplishment of the Vision to Include Strong Partnerships Required to Carry Out those Plans

The types of things that could be considered under this objective include:

- Quality of the Vision developed for the Laboratory and effectiveness in identifying its distinctive characteristics
- Quality of Strategic/Work Plan for achieving the approved Laboratory vision;
- Quality of required Laboratory Business Plan
- Ability to establish and maintain long-term partnerships/relationships that advance/expand ongoing Laboratory missions and/or provide new opportunities/capabilities
- Effectiveness in developing and implementing commercial research and development opportunities that leverage accomplishment of DOE goals and projects with other federal agencies that advances the utilization of Laboratory technologies and capabilities
- Effectiveness in maintaining appropriate relations with the community to include providing for open and honest communications

4b. Provide for Responsive and Accountable Leadership throughout the Organization

The types of things that could be considered under this objective include:

- Leadership's, to include Corporate Office Leadership's, ability to instill responsibility and accountability down and through the entire organization
- The effectiveness and efficiency of Leadership, to include Corporate Office Leadership, in identifying and/or responding to Laboratory issues or opportunities for continuous improvement
- Leadership maintains cognizance of corrective action plans and insures their timely closure

4c. Provide Efficient and Effective Corporate Support as Appropriate

The types of things that could be considered under this objective include:

- Corporate Office involvement in and support of business and other infrastructure process and procedure improvements

- The willingness to enter into and effectiveness of joint appointments when appropriate
- Where appropriate, the willingness to develop and work with the Department in implementing innovative financing agreements and/or provide private investments into the Laboratory
- Corporate Leadership involvement in reviewing and establishing risk limits for Laboratory operations
- Corporate Leadership involvement in assessing management approaches and systems utilized at the Laboratory to ensure they are comprehensive and sufficient to address significant risks attendant to Laboratory operations and strategic mission accomplishment

5. Sustain Excellence and Enhance Effectiveness of Integrated Safety, Health, and Environmental Protection

The Contractor protects the safety and health of the DOE contractor workforce, subcontractors, the community, and the environment in all DOE-sponsored work at the site, and sustains and enhances the effectiveness of integrated safety, health and environmental protection through a strong and well deployed system.

5a. Provide a Work Environment that Protects Workers and the Environment

The types of things that could be considered under this objective include:

- The success in meeting ES&H goals
    - The Contractor's progress in achieving and maintaining "best-in-class" ESH&Q program performance as measured by the day away, restricted or transferred (DART) case rate
    - The Contractor's progress in achieving and maintaining "best-in-class" ESH&Q program performance as measured by the total reportable case rate (TRCR)
    - The number of reportable occurrences of release to the environment
    - The number of instances of uncontrolled spread of radioactive contamination meeting the criteria of DOE M 232.1-1A

5b. Provide Efficient and Effective Implementation of Integrated Safety, Health and Environmental Management

The types of things that could be considered under this objective include:

- The commitment of leadership to strong ES&H performance is appropriately demonstrated
- The maintenance and appropriate utilization of hazard identification, prevention, and control processes/activities
- The degree to which scientists and workers are involved and engaged in the ES&H program at the bench level
- Safety-related training for immediate managers, cognizant space managers, product line managers, and for staff working in IOPS spaces is developed and implemented

- An open reporting culture is maintained at the Laboratory while appropriately responding to ESH&Q incidents
- Staff demonstrates cognizance and engagement in the safety program

5c. Provide Efficient and Effective Waste Management, Minimization, and Pollution Prevention

The types of things that could be considered under this objective include:

- ISO 14001 certification
- Efficiency and Effectiveness of efforts to minimize the generation of waste

6. Deliver Efficient, Effective, and Responsive Business Systems and Resources that Enable the Successful Achievement of Laboratory Missions

The Contractor sustains and enhances core business systems that provide efficient and effective support to Laboratory programs and its missions.

6a. Provide an Efficient, Effective, and Responsive Financial Management System

The types of things that could be considered under this objective include:

- Demonstration of efficient and effective financial management system(s) support;
- The effectiveness of the financial management system(s) as validated by internal and external audits and reviews
- The continual improvement of financial management system(s) through the use of results of audits, review, and other information
- The degree of knowledge and appropriate utilization of established system processes/procedures by Contractor management and staff
- Indirect costs are managed

6b. Provide Efficient, Effective, and Responsive Acquisition and Property Management Systems

The types of things that could be considered under this objective include:

- Demonstration of efficient and effective acquisition and property management system(s) support
- The effectiveness of the acquisition and property management system(s) as validated by internal and external audits and reviews
- The continual improvement of acquisition and property management system(s) through the use of results of audits, review, and other information
- The degree of knowledge and appropriate utilization of established system processes/procedures by Contractor management and staff

6c. Provide an Efficient, Effective, and Responsive Human Resources Management System

The types of things that could be considered under this objective include:

- Demonstration of efficient and effective human resources management system support
- The effectiveness of the human resources management system as validated by internal and external audits and reviews

- The continual improvement of the human resources management system through the use of results of audits, review, and other information
- The degree of knowledge and appropriate utilization of established system processes/procedures by Contractor management and staff

6d. Provide Efficient, Effective, and Responsive Management Systems for Internal Audit and Oversight; Quality; Information Management; and Other Administrative Support Services as Appropriate

The types of things that could be considered under this objective include:

- Demonstration of efficient and effective management systems support
- The effectiveness of the management systems as validated by internal and external audits and reviews
- The continual improvement of management systems through the use of results of audits, review, and other information
- The degree of knowledge and appropriate utilization of established system processes/procedures by Contractor management and staff
- Comparison (benchmark) of Information Technology cost performance with like industry and government entities

6e. Demonstrate Effective Transfer of Technology and Commercialization of Intellectual Assets

The types of things that could be considered under this objective include:

- The proper stewardship of intellectual assets and Laboratory owned or originated technology
- The market impacts created/generated as a result of technology transfer and deployment activities (e.g., licenses, option agreements)
- Communication products contributing to the transfer of Laboratory originated knowledge and technology
- Total consideration (license revenue and non-cash returns from licensing of Laboratory derived IP, as well as new R&D projects where IP is optioned, licensed, or otherwise used) to the Laboratory from the deployment of intellectual assets

7. Sustain Excellence in Operating, Maintaining, and Renewing the Facility and Infrastructure Portfolio to Meet Laboratory Needs

The Contractor provides appropriate planning for Laboratory facilities and infrastructure needs required to efficiently and effectively carry out current and future S&T programs, and manages DOE facilities and infrastructure in a cost effective manner that ensures their safe and reliable operation consistent with program missions needs and DOE stewardship requirements.

7a. Manage Facilities and Infrastructure in an Efficient and Effective Manner that Optimizes Usage and Minimizes Life Cycle Costs

The types of things that could be considered under this objective include:

- The management of real property assets to maintain effective operational safety, worker health, environmental protection and compliance, property preservation,

and cost effectiveness while meeting program missions, through effective facility utilization, maintenance and budget execution

- The day-to-day management and utilization of space in the active portfolio
- The maintenance and renewal of building systems, structures and components associated with the Laboratory's facility and land assets
- The management of energy use and conservation practices

7b. Provide Planning for and Acquire the Facilities and Infrastructure Required to support Future Laboratory Programs

The types of things that could be considered under this objective include:

- Integration and alignment of the Ten Year Site Plan to the Laboratory's comprehensive strategic plan
- The facility planning, forecasting, and acquisition for effective translation of business needs into comprehensive and integrated facility site plans
- The effectiveness in producing quality site and facility planning documents as required
- The involvement of relevant stakeholders in all appropriate aspects of facility planning and preparation of required documentation
- Overall responsiveness to customer mission needs
- Efficiency in meeting Cost and Schedule Performance Index for construction projects (when appropriate).

8. Sustain and Enhance the Effectiveness of Integrated Safeguards and Security Management (ISSM) and Emergency Management Systems

The Contractor sustains and enhances the effectiveness of integrated safeguards and security and emergency management through a strong and well deployed system. Commensurate, to the greatest degree possible, with an "open campus" philosophy, protect laboratory facilities, personnel, and classified and sensitive information from harm by implementing effective safeguards, security, and emergency management programs.

8a. Provide an Efficient and Effective Emergency Management System

The types of things that could be considered under this objective include:

- The commitment of leadership to a strong Emergency Management performance is appropriately demonstrated
- The maintenance and appropriate utilization of Emergency Management procedures and processes are effectively demonstrated
- Emergency Management events are reported and mitigated as necessary
- Results of external reviews, surveys, and inspections demonstrate that Emergency Management systems are effective
- Employee and Management awareness of their Emergency Management responsibilities

8b. Provide an Efficient and Effective System for Cyber-Security

The types of things that could be considered under this objective include:

- The commitment of leadership to a strong Cyber-Security performance is appropriately demonstrated
- Integration of Cyber-Security into the culture of the organization for effective deployment of the system is demonstrated
- The maintenance and appropriate utilization of Cyber-Security risk identification, prevention, and control processes/activities
- Cyber-Security Events are reported and mitigated as necessary
- Demonstrate an effective Cyber-Security system through external reviews, surveys and inspections
- Employee and Management awareness of their Cyber-Security responsibilities

8c. Provide an Efficient and Effective System for the Protection of Special Nuclear Materials, Classified Matter, and Property

The types of things that could be considered under this objective include:

- The commitment of leadership to strong Safeguards performance is appropriately demonstrated
- Integration of Safeguards into the culture of the organization for effective deployment of the system is demonstrated
- The maintenance and appropriate utilization of Safeguards risk identification, prevention, and control processes/activities
- Safeguards Events are reported and mitigated as necessary
- Demonstrate an effective Safeguards system through external reviews, surveys and inspections
- Employee and Management awareness of their Safeguards responsibilities

8d. Provide an Efficient and Effective System for the Protection of Classified and Sensitive Information

The types of things that could be considered under this objective include:

- The commitment of leadership to strong protection of classified and sensitive information performance is appropriately demonstrated
- Integration of protection of classified and sensitive information into the culture of the organization for effective deployment of the system is demonstrated
- The maintenance and appropriate utilization of protection of classified and sensitive information risk identification, prevention, and control processes/activities
- Protection of classified and sensitive information events are reported and mitigated as necessary
- Demonstrate an effective Security system for the protection of classified and sensitive information through external reviews, surveys and inspections
- Employee and Management awareness of their responsibilities for the protection of classified and sensitive information